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Improved Livelihoods for Pastoralists and Ago-Pastoralists in Southern Ethiopia (informally known as the Southern Tier Initiative (STI))

Solicitation No.: 663-02-021

Issuance Date: 06-20-2002

Closing Date: 07-15-2002

For questions

Closing Date: 07-22-2002

Closing Time: 17:00 local time

Subject: Request for Applications (RFA) Number #663-02-021 Improved Livelihoods for Pastoralists and Ago-Pastoralists in Southern Ethiopia (informally known as the Southern Tier Initiative (STI))

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement from an organization/consortium for funding a program for USAID/Ethiopia's Southern Tier Initiative Special Objective. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended, and the Federal Grants and Cooperative Agreements Act of 1977.

The purpose of this Request is to obtain applications for one Cooperative Agreement ("Agreement") that contributes to the achievement of USAID's Southern Tier Initiative. The Recipient will be responsible for achieving measurable impact on the livelihoods of the pastoralists and agro-pastoralists in southern Ethiopia. Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

Subject to the availability of funds, USAID intends to provide approximately \$6,400,000 in total USAID funding allocated over a five-year period. Please reference Section A.6. Technical Application Format for the percentage under each category of funding. Applications should follow these estimates for planning purposes. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Grant Application Instructions;
2. Section B - Selection Criteria;

3. Section C - Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;
5. Section E - Annexes

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 3 of the cover letter accompanying this RFA. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA #663-02-021 inscribed thereon, to:

Kenneth Barberi
USAID/Ethiopia
P.O.Box 1014
Riverside Building
Off Haile Gebresellasie Road
Addis Ababa, Ethiopia

Please do not send application via pouch, as transmission times are unreliable. We recommend special courier services to the address above.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible Applicant whose application offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.usaid.gov>. Select Business and Procurement from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". Receipt of this RFA through INTERNET must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Instructions;
- (c) Section C - The Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to Teame Gebretsadik, negotiator, USAID/Ethiopia, via facsimile at 251-1-531901 or 251-1-510043 or via internet email at ttsadik@usaid.gov. If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442.

Sincerely,

Teame Gebretsadik
Negotiator
USAID/Ethiopia

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SECTION A- GRANT APPLICATION INSTRUCTIONS**1. General**

A. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section II addresses the technical evaluation procedures for the applications. Applications, which are submitted late or are incomplete, run the risk of not being considered in the review process.

B. Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

C. The applications must be prepared according to the format set forth below. Technical portions of applications should be submitted in an original and six copies and cost portion of applications in an original and two copies.

D. The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.

E. Applicants must set forth full, accurate, and complete information as required by this RFA. The penalty for making false statements in applications to the U.S. Government is prescribed in 18 U.S.C. 1001.

2. Grant Award

A. The Government may award one Cooperative Agreement (CA) resulting from this RFA to the responsible applicant whose application conforming to this RFA offers the greatest value (see also Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section B, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

B. The Government may award one Cooperative Agreement on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

C. A written award mailed or otherwise furnished to the successful applicant within the time for acceptance specified either in the application or in this RFA (whichever is later) shall result in a binding Grant without further action by either party. Before the application's specified expiration

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time, the government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an application do not constitute a rejection or counter offer by the Government.

D. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant.

3. Preparation of applications

A. Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in an original and six copies and cost portions of applications in an original and two copies. In addition to the hard copies, electronic copies of the technical and cost proposals shall be submitted on a 3-1/2" diskette. The technical proposal shall be a WORD97 document. The budget in the cost proposal shall be submitted as an EXCEL97 document. Budget notes on the cost proposals shall be included as a WORD97 document.

B. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

C. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

D. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(1) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction.

(2) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

E. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost

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consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

F. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgment by the time specified for receipt of Applications.

4. Submission of applications

A. Applications and modifications thereof shall be submitted in sealed envelopes or packages addressed to the office specified in the Cover Letter of this RFA, and showing the time specified for receipt, the RFA number, and the name and address of the applicant. Cost applications and technical applications shall be submitted in separate envelopes.

B. Telegraphic applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

C. Applicants should retain for their records one copy of the application and all enclosures, which accompany their application.

D. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 3 of the cover letter accompanying this RFA. Applications which are submitted late or are incomplete run the risk of not being considered in the review process.

5. Cost Application Format

Subject to the availability of funding USAID/Ethiopia intends to award a Cooperative Agreement in the amount not to exceed US\$6,400,000.

Applicants are to provide a detailed breakdown of all costs, including indirect costs. Include budget notes on each budget line item detailing how the line item cost was derived. Moreover, Applications shall provide brief narrative description of any costs that may require explanation (i.e., why a specific cost may be higher than market costs, justification for fringe benefit rates, etc.). Negotiated Indirect Cost Rate Agreement (NICRA), if existent, must be included.

Narrative discussion must include assumptions used in determining any in-kind cost share contribution. Moreover, any agreements with a third party providing a contribution shall be detailed and the agreement with the party shall be included under a tabbed section "Sub-Agreements" of the cost proposal. Any third party cost contributions which do not have a formal written agreement at the time of the Applications shall include a narrative under the tabbed section "Sub-Agreements" which clearly describe what stage of the process the two parties are at and the date the Applicant expects the Agreement(s) to be formalized.

The budget shall be submitted on SF 424 Application for Federal Assistance and 424a (This form can be downloaded from: http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf-424/)

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The cost application shall include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing.

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program;
- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing the proposed Agreement;
- potential contributions of non-USAID or private commercial donors to the proposed Agreement;
- your procurement plan for commodities.

Cost sharing/matching

The applicant shall propose a cost sharing contribution. Cost-sharing is an important element of the USAID-recipient relationship. It is USAID policy to encourage cost-sharing, and seek appropriate level of financial participation from recipients of grants and cooperative agreements when designing and negotiating these agreements. USAID policy is to have the maximum cost-sharing proposed. However, each applicant may propose whatever amount they can reasonably contribute to the activities.

Responsibility determination

Certain documents are required to be submitted by the successful applicant in order for the Regional Agreement Officer to make a determination of responsibility.

Organization(s) determined to have a reasonable chance for award may be requested to submit additional information deemed necessary for the Agreement Officer to make a determination of responsibility. The information must substantiate that the Applicant:

- Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, governmental and non-governmental.
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance
- Has a satisfactory record of integrity and business ethics is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

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Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) will be required to submit the following information:

- Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified external public accountant or auditor satisfactory to USAID.
- Projected budget, cash flow and organization chart
- A copy of the organization's accounting manuals.

The applicant is required to complete and execute the certifications in Section D as well as any other certifications mandated by USAID regulations:

- Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters - Primary Covered Transactions
- Certification Regarding Drug-Free Work Place Requirements
- Restrictions on Lobbying (certification and disclosure forms)

6. Technical Application Format

The purpose of this Request is to obtain applications for a cooperative agreement (CA) that contributes to achievement of the Southern Tier Initiative (STI) Special Objective:

Improved Livelihoods of Pastoralists and Agro-Pastoralists in Southern Ethiopia.

The proposed CA will focus on the four intermediate results (IR) related to this special objective:

IR 1: Pastoralist and agro-pastoralist incomes increased,

IR 2: Adoption of family health practices increased

IR 3: Access to appropriate basic education increased and

IR 4: Traditional dispute resolution mechanisms enhanced.

Applicants should propose an innovative approach to achieve a holistic, integrated program addressing the four IRs and Mission's cross cutting themes establishing a foundation for lasting resolution of problems faced by pastoralists and agro-pastoralists in the target areas. Applications should present proposed activities as well as a monitoring and evaluation (M&E) plan. The M&E plan should include proposed performance indicators, anticipated targets and discuss the causal linkages to the SpO's IRs. These results should lead to a measurable impact on the livelihoods of the pastoralists and agro-pastoralists in the Borana zone of the Oromiya Region and the Liben and Afdar Zones of the Somali Region. Applicants are encouraged to coordinate their program with ongoing pilot STI activities, other USAID Mission Programs and other donor activities in the STI area. (See Annex B – Other Donors and NGO Efforts in the Southern Tier.)

Applicants are encouraged to offer creative ideas as to how benefits can be maximized and/or cost reduced by undertaking activities through linked or integrated approaches with other USAID Mission Programs. In areas with planned or active Title II programming or any USAID-funded programs, the Applicants are encouraged to complement these efforts. These efforts may include training or other efforts to improve management, targeting and synergy.

Applicants may wish to launch joint proposals or other group arrangements to decrease USAID management burden of the CA. In order to maximize the likelihood of program sustainability, USAID encourages Applicants to incorporate significant participation of Ethiopian NGOs (E-NGOs) and/or Ethiopian civil society organizations (E-CSOs) in their plan to achieve the CA objective. Applicants are advised that another key factor in evaluation of Applications is the presence of an explicit "exit strategy" that ensures continuity of program benefits after the CA termination date.

Given the drought-prone nature of the STI target area and the recent influx of refugees caused by the civil unrest in southern Somalia, the Applicants may wish to outline scenarios for operating under potential periods of natural disaster or civil unrest.

Subject to the availability of funds, the anticipated total funding for this program is U.S. \$6,400,000 over five years. Of this funding, USAID/Ethiopia expects 18% for agricultural/income diversification related activities. For health related activities, the overall percentage is 28% that is comprised of 50% for Family Planning, 26% for HIV/AIDS, and 25% maternal/child health. The percentage for primary education is 38% and for peace building activities is 16%. These percentages must include associated management costs. As such, multi-sectoral (integrated) programs that improve the livelihoods of pastoralists and agro-pastoralists and achieve the results described herein are a priority. The program budget should reflect the detailed activities under each of the intermediate results.

Applicants should develop program descriptions up to a five-year period to begin on or about October 1, 2002 and to end no later than June 30, 2007. Within the first 90 days after the signing of the CA, USAID will host a collaborative Performance Management Planning (PMP) session with all STI implementing partners to discuss PMP approaches, baseline data collection and M&E processes. The SpO's PMP will be finalized after this session. In 2004, USAID will fund a mid-term evaluation and a data quality assessment. The mid-term evaluation will review achievements to date, document lessons learned and help guide the program to completion. During the final year of the program, 2007, the major activity is the program completion as described in the exit strategy. USAID will fund the final program evaluation.

Background on Ethiopia and the USAID/Ethiopia program are located on the Mission's web site: www.usaid.gov. Other information on USAID programs in Ethiopia over the past decade that may be of interest is available under "Ethiopia" in USAID's Development Experience System (DEXS) at www.dec.org. Applicants are encouraged to review these documents to understand Ethiopia and USAID context in which this agreement fits.

Technical applications must include the following six (6) sections in a document of no more than 50 pages.

Executive Summary: An Executive Summary that highlights the most salient features of the approach should precede the substantive text.

Organizational Capability: Applicants must: (a) state the nationality of organization; (b) provide an organization chart with title, functions, and responsibilities of personnel; and (c) describe the qualifications of prime organization and other implementing partners. This section should provide evidence that the applicant has the capacity to successfully carry out the activity. If sub-contractors

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or sub-grantees are contemplated, then all of the following information should be provided for each of the partners:

- Demonstrated past performance in developing, implementing, managing and evaluating food aid and development activities.
- Experience in promoting and coordinating community participation and collaborating closely with federal, regional and woreda government.
- Demonstrated achievement of results in relief and development programs in food insecure areas.
- Experience in building partnerships and transferring technical and management skills to partners.

Program Approach: This section provides an overview of the program, including a brief summary of the relevant trends and challenges, technical interventions, and a strategic framework. In short, this section should be a stand-alone representation of the proposed activity, providing a complete overview of the program design and implementation. This summary should include:

- A clear description of the proposed approaches to achieve program objectives
- The analytical basis for proposed interventions, including an understanding of the cultural, demographic and socio-economic factors
- A clear summary of what is to be accomplished in terms of:
 - the program outcomes to be achieved, with realistic milestones and targets defined
 - clear linkage to the various SOs, and the cross-cutting themes demonstrated;
 - the level within the region (household, community, kebele, woredas, zones) at which these outcomes will be achieved;
 - the specific population segments to be targeted; and
 - how the outcomes, milestones and targets will be achieved, demonstrating innovative, cost-effective, technically and culturally sound approaches to achieving Agreement objectives.

Performance Monitoring and Evaluation: This section describes the overall approach to monitoring of the proposed activity's goal(s), results-based objective(s), and major activities. These should be the same as those discussed in the Program Description. A matrix or other graphic may be used to present information. This section should include information on the following:

- The process used to gather, analyze, and use data in program management.
- Proposed indicators, milestones, and targets.

Management Plan: This section provides a concise overview of how the proposed activity will be managed. This section should include an organizational chart that clearly delineates: the key personnel responsible for managing this activity; and any key personnel under sub-agreements. In general, the Management Plan will address the following:

- The plan for coordinating, managing and integrating the proposed approach with others contributing to the achievement of the program.
- The system to be used for managing diverse activities expeditiously, soundly, and at reasonable costs.

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- The system to be used to facilitate community-level participatory planning and implementation.
- The system to be used to incorporate and nurture participation of Ethiopian NGOs and/or civil society organizations in planning, implementing and managing the program.

Personnel Qualifications and Staffing: The Applicants' proposals must define technical qualifications and experience, and position descriptions for key positions and personnel that they propose based on the following:

- an understanding of the issues/problems and the challenges and opportunities of activities to contribute to reducing chronic food insecurity described herein; and
- the Applicant's proposed activities, outcomes, milestones, and targets to be accomplished over the life of the program.

Applicants should include a discussion of proposed headquarters supervision, support, and quality control efforts under the Agreement. Any direct level of effort attributable to headquarters activities is expected to be focused primarily on that required for sourcing information and technical expertise to support the field team.

The Chief of Party/Country Representative is expected to be authorized to represent the Applicant in all matters pertaining to the execution of the Program with the possible exception of Agreement amendments, for which authority shall be delegated at the discretion of the Applicant. The Chief of Party/Country Representative shall receive technical direction only from the USAID Cognizant Technical Officer (CTO) or his/her designee.

Applicants are advised that a key technical evaluation criteria is appropriate gender balance of proposed personnel and commitment to maintaining at least 25% women professionals throughout the life of program and are encouraged to propose staff accordingly.

Past Performance (maximum 5 pages)

The Applicant is required to submit information on previously performed or on-going Contracts, Grants or Cooperative Agreements that are the same or similar to this RFA. Similar, used here, is in relation to the size, scope, geographic coverage, ethnic complexity or subject matter of the agreement. The same information is required for all identified sub-awardees as relates to their proposed role. Past performance is an indicator of the applicant's ability to perform the contract successfully.

The information should be limited to a list of all such contracts over the past 3 years in accordance with the following table.

Instrument No.	Name of Organization	Contact (name, phone #, fax and e-mail address)	Amount	Period of Performance	Place of Performance

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D. Proposed RFA Timeline:

June 20, 2002	Release of RFA
July 22, 2002	Closing Date for Applications
July 23 –July 29, 2002	Technical Evaluation
Aug. 1 - 8, 2002	Discussions and Negotiations
Aug. 8, 2002	Final proposal due
August 30, 2002	Award Made
Oct. 1, 2002	Target Mobilization Date

SECTION B - SELECTION CRITERIA**EVALUATION CRITERIA FOR AWARD FOR THE SOUTHERN TIER INITIATIVE APPLICATIONS****1. Application Format**

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

To facilitate the review of applications, Applicants should organize the narrative sections of their applications in the same order as the selection criteria.

2. Evaluation Procedures

The technical portion of Applications will be evaluated by a Technical Evaluation Committee of USAID Ethiopia and the STI Joint Operations Team (JOT) in accordance with the Technical Evaluation Criteria (100 points) set forth below.

Cost has not been assigned a weight but will be evaluated for general reasonableness, allocability, allowability and cost effectiveness or best value. Cost sharing will be evaluated on the level of financial participation proposed and the added value it represents to the program.

To the extent that they are necessary, *negotiations will then be conducted with the Applicant(s) whose application(s) have a reasonable chance of being selected for award(s), and submission of revised application(s) may be requested.* An award will be made to the responsible and responsive Applicant whose application offer the greatest value, based on technical and other factors set forth in below.

3. Technical Evaluation Criteria

Applications must demonstrate technically, culturally, and economically sound, appropriate, and feasible approaches to achieve the objective of CA, i.e. *Improved Livelihoods for Pastoralists and Agro-Pastoralists in Southern Ethiopia*. Specific weighted criteria follow.

CRITERIA FOR APPLICATION EVALUATION

TECHNICAL CRITERIA	SCORE
A. <i>Quality and Responsiveness (70 points maximum)</i>	
1. <i>Technical Approach (40 points)</i> <ul style="list-style-type: none"> • Sound analytical basis for proposed approaches, problem analysis, program design, including an understanding of the cultural, demographic, and socio-economic factors related to pastoralists and agro-pastoralists to improve their livelihoods in each aspect: income, family health practices, primary education and peace building. • Extent to which the proposed approach is well conceived, technical sound and ambitious yet feasible to achieve the special objective and special considerations identified in this RFA. • Clear summary of what is to be accomplished: <ul style="list-style-type: none"> -Extent to which innovative approaches are identified that are likely to be effective; -Where, when and at what level these activities will occur in the "target areas"; -With whom (identification of specific population segments) to be targeted; and -How the proposed results and targets will be achieved, demonstrating innovative, cost-effective, technically and culturally sound approaches that are acceptable by the respective appropriate local, zonal and regional offices. 	
2. <i>Management Plan (10 points)</i> <ul style="list-style-type: none"> • Appropriate plan for coordinating, managing and integrating Applicant's approach with other partners' inputs engaged in pastoralist and agro-pastoralist development initiatives. • Appropriate systems to manage diverse activities, effectively, efficiently, and on time. • An outline for operating under potential periods of natural disaster or civil unrest. • Appropriate systems to incorporate local government development officers and nurture participation of Ethiopian NGOs and other civil society organizations in planning, implementing and managing the program. • Explicit "exit strategy" that demonstrates how impact and critical processes will be continued after the CA termination date. 	
3. <i>Monitoring and Evaluation Plan (20 points)</i> <ul style="list-style-type: none"> • Appropriateness of clearly defined indicators, targets, methods, and tools for data gathering and analysis activities for monitoring CA results within in the context of USAID Results Framework. • Overall quality of evaluation plan. 	

<p><i>B. Program Team Qualifications and Experience, Staffing Pattern, Institutional Capacity and Past Performance</i> <i>(30 points)</i></p>	
<ul style="list-style-type: none"> • Qualifications and experience of key personnel in managing an integrated program, particularly in a remote area. • Recipient's ability to effectively bring disciplines, functional skills, and experiences of proposed staff to bear on the proposed program. • Appropriateness of the composition and organizational structure of the program team. Relevant and demonstrated experience of the proposed program team in their disciplines and past USAID and/or other international donor experience. • Past experience in implementing approaches similar to that proposed. • Demonstrating ability to quickly yet effectively staff a program and launch program activities. • Appropriate gender balance of proposed personnel maintaining at least 25% women professionals throughout the life of program. • Documented success in commitment to maintaining women professionals. 	
<p><i>Total Score (100 points maximum)</i></p>	

SECTION C - PROGRAM DESCRIPTION**USAID Ethiopia Southern Tier Initiative (STI)****Improved Livelihoods of Pastoralists and Agro-Pastoralists in Southern Ethiopia****1. Program Parameters**

The Special Objective, Improved Livelihoods of Pastoralists and Agro-Pastoralists in Southern Ethiopia, informally known as the Southern Tier Initiative, is part of USAID/Ethiopia's assistance program in Ethiopia. The purpose of this RFA is to acquire the expertise and services of a development partner to develop and implement a holistic, integrated development program, which will achieve measurable impact on improving the livelihood of pastoralists and agro-pastoralists in Ethiopia's southern tier focus zones.

A. Time Period

Five Years, from FY 2002 through FY 2007.

B. Anticipated Funding Level

\$6,400,000 (subject to funding availability, incrementally funded on an annual basis)

C. Program Location

The geographic focus for this special objective is the Borana Zone of the Oromiya Region and the Liben and Afdar Zones of the Somali Region.

D. Partnerships

The RFA strongly encourages partnerships with local, regional and zonal government development offices in the areas of agriculture and livestock husbandry, health and education to achieve results and ensure program sustainability. It is hoped that a close working relationships with other implementing partners and donors will evolve.

E. Coordination and Integration

It is important that implementation of the STI program is coordinated with new and on-going assistance programs to avoid duplication of effort and ensure complementarity. USAID is currently implementing major activities in the family health and primary education sectors in the STI focus area of Oromiya and Somali Regions.

USAID's family health program referred to as ESHE II is funding Pathfinder International and Population Services International/DKT. These national level programs cover training of health care workers in maternal and child health issues, nutrition, family planning and HIV/AIDS awareness.

USAID's primary education program referred to as BESO II has a national program, "Strengthening Communities through Partnerships for Education" (SCOPE). SCOPE develops, delivers and evaluates a comprehensive program to build the capacity of schools, communities and local government in identifying and effectively addressing barriers to improve access, quality and equity in primary education. SCOPE's design also integrates issues of importance to Ethiopian communities – HIV/AIDS, nutrition and dispute resolution.

USAID's agriculture program, Rural Household Production and Productivity Increased Strategic Objective (RHPP SO) has income generation and diversification design activities that may be transferable for use in the STI areas. While RHPP is not in the STI focus areas there are particular synergies for consideration. These synergies are in the areas of market information and development, micro-enterprise, technology-information dissemination development, producer cooperatives and related non-government services, and natural resources protection.

Programs with potential integration opportunities may include Mitigate the Effects of Disaster (MED), Focus for Critically Under-served States (FOCUS) and Office of Foreign Disaster Assistance (OFDA). MED SO IR 3- "Improved conditions for peace/stability in selected dispute affected areas" may potentially have activities implemented in the STI focus areas. Activities under FOCUS may support dispute mitigation and prevention, inter and intra ethnic tolerance, pluralism and address resource dispute "flash points". OFDA-funded activities targeting cross-border communities are envisioned.

F. Approach

In addition to the STI SpO and illustrative activities described in Section C, the general approach for the STI CA will emphasize gender issues and four crosscutting themes of the Integrated Strategic Plan (ISP) for USAID/Ethiopia:

Gender As a matter of policy, USAID continues to emphasize gender equity in all its programs. Gender equity is the process of being fair to women and men. To ensure fairness, measures must often be available to compensate for historical and social disadvantages that prevent women and men from otherwise operating on a level playing field. Women are active contributors to and agents of economic development and more emphasis is required to enhance women's participation in the process. Women are integral to raising family incomes, improving family health and increasing family resources, which will contribute to improved livelihoods. Emphasis is needed to encourage men as partners in order to decrease the burden on women. In the area of reproductive health, there is a greater need to focus on needs and rights of women and men, promoting a comprehensive reproductive health and rights approach. Activities must be sensitive to gender issues and all relevant data should be disaggregated by gender.

Nutrition Malnutrition is identified as the single most important underlying cause for infant and under-five child mortality, 58%, in many parts of Ethiopia, and malnutrition is even worse in pastoral areas. Per the GFDRE's National Rural Nutrition survey, 1993, stunting for pastoralists' children under 5 was at 71%.

A two year study in southern Ethiopia by the International Center on Research in Women found (a) 45% of women reported difficulty seeing after sundown - lack of vitamin A; (b) low exclusive breast feeding rates (less than 25%) coupled with late introduction of complementary feeding contributed to high rates of malnutrition; and (c) 70% of households never consumed locally available food stuffs on the market, indicating low income and availability of alternative food sources.

A STI focus is improving the diet of pastoralists and agro-pastoralists and their families. They are constrained by a variety of factors including poverty, lack of health/nutrition services and limited access to nutritional information, low parental knowledge, and cultural patterns of intra-household food consumption (utilization). Further, women lack decision-making power over use of animals for sale or consumption. Improved nutrition plays a critical role in ones productivity, health and life expectancy and as such, its inclusion in agriculture, health, and education activities is appropriate.

Human and Institutional Development Building human and institutional capacities are key to sustainable development and should be the cornerstone of activities. Capacity building is a critical element to the GFDRE's and USAID's achieving results in all sectoral interventions on a sustainable basis. Accordingly, training and technical assistance in the target areas should seek to strengthen the local, zonal and regional level capacity to plan interventions, mobilize resources and deliver better services.

HIV/AIDS Ethiopia has the third largest number of HIV/AIDS positive people in the world, over three million affected. Given this daunting statistic and the potential devastating effects, HIV/AIDS is a major development crisis, which requires a multi-sectoral approach. Per the 2000 Demographic Health Survey (DHS) the HIV/AIDS epidemic is increasing in the STI targeted area. STI includes one Intermediate Result (IR) directed at specific interventions to address family health. As part of this IR, activities should include AIDS awareness, knowledge of HIV/AIDS prevention. Other activities such as home-based care and support, and care of orphans and children affected by HIV/AIDS may be considered, if appropriate.

Title II Integration Title II programs combine food assistance with development assistance targeting vulnerable populations. Integration of development assistance with Title II food resources is a Mission-wide objective. Currently, Save the Children Foundation/US (SCF/US) has programs in animal health, rangeland and environmental improvement of pastoral lands, and human health in the Liben woreda of the Oromiya Region. The effective integration of food aid and development activities contributes to the success of STI. The coordination and integration of this RFA programming and any future Title II programs is encouraged.

2. Detailed Program Description

A. Background

Ethiopia's southern border area has important economic and ecological characteristics that distinguish the region from other parts of Ethiopia. Most of this area is characterized by low-altitude arid and semi-arid environments and livestock-based pastoral economies.

The arid and semi-arid pastoral areas make up approximately 60 percent of Ethiopia's land mass. At an altitude of less than 1,500 meters, with annual rainfall of less than 700 mm, these areas have an estimated population of 6 million people (nearly 10% of the total population). A significant portion of Ethiopia's livestock population lives in these areas, estimated at 9 million cattle, 6 million sheep, 13 million goats, and 1 million camels.

Nevertheless, pastoral areas remain among the least developed parts of Ethiopia. Infrastructure is poorly developed or non-existent; vast areas have no roads, schools, health, or telecommunication services. Levels of absolute poverty are high, and most of Ethiopia's pastoralists are forced to survive on external food aid for several months every year. Not surprisingly, over 71% of children under 5 years of age in the target area are stunted. This rate is significantly higher than the national average percentage.

Education statistics in the STI area are also significantly worse than the national average. For example, in the 2000-2001 school year, the gross enrollment ratio (GER) for primary school in the Somali Region overall was only 10.6% (7.2% for girls) as compared to 57.4% nationally (47% for girls). Although the student to teacher ratio of 34:1 is well below the national average of 49:1, this is mainly because many pastoral families do not send their children given their nomadic mobility and their lifestyle's incompatibility with a structured education system.

The harsh environment, combined with inadequate social and political coordination, has resulted not only in underdevelopment, but has fostered dispute over, and access to, available scarce resources. Competition for water and land, access to health and education and other Government-provided services, seasonal migrations, coupled with the strict cultural obligation to extend hospitality to migrants (and their cattle), regularly stress social and political structures and systems in the pastoral areas. The demand by the government authorities for allegiance, and respect for its laws and procedures, often differs with the cultural traditions and methods of the local population (unrestricted cross-border migration, clans' negotiations vs. court redress of crimes, etc.).

Livestock dominate local patterns of trade and production. The southern rangelands, covering the whole of the Borana plateau, are an important market for unofficial livestock trade from Ethiopia primarily to Kenya and, secondarily, to Somalia. According to local traders, these unofficial channels supply consumer markets in Kenya and Somalia, including those that are re-exported to the Middle East. Livestock trade is subject to fluctuations in markets and importing countries' policies related to animal health requirements. Foodstuffs and other consumer goods flow in the reverse channel. The

structure of the goods traded in the border areas, as well as lowland and highland linkages to the interior, suggests important wider implications for food security in the area.

Annex B summarizes other institutional efforts in the STI development interventions. Annex C highlights GFDRE's policies and interventions that effect or will affect pastoralists, and Annex D describes USAID's current programming that addresses pastoralists issues.

B. Program Objective, Illustrative Activities and Anticipated Results

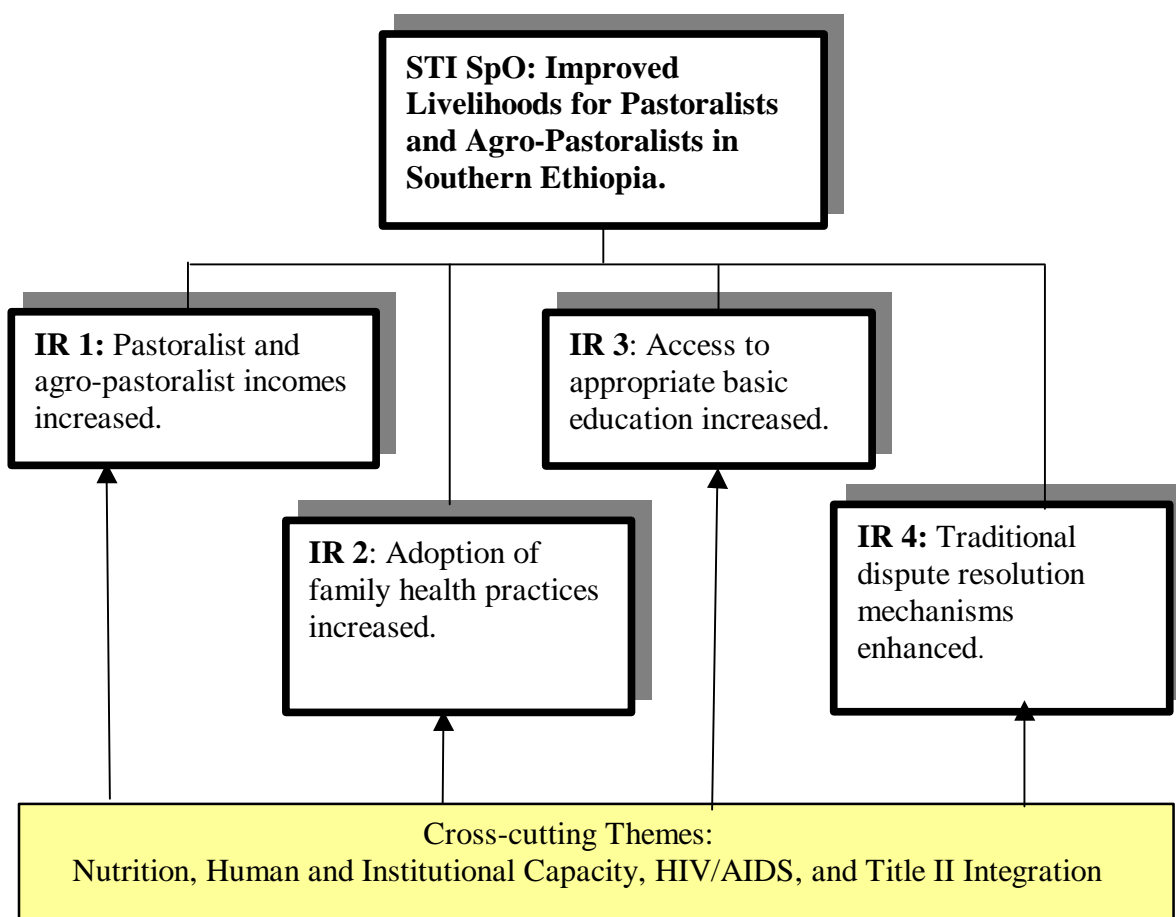
USAID/Ethiopia's SpO is **Improved Livelihoods for Pastoralists and Agro-Pastoralists in Southern Ethiopia**. The Special Objective is the same as a Strategic Objective (SO) for a USAID-supported program as it is the most ambitious result that USAID/Ethiopia, along with its partners, can materially affect, and for which it is accountable. However, a Special Objective (SpO) is more limited in scope or experimental in nature. Although recent GFDRE's strategies have included pastoralists' development needs, in the past, the attention given to pastoralist development was minimal. The need to address this under-served populace combined with a limited geographic focus and an integrated development approach meets the criteria for a special objective.

Development Hypothesis: The definition of "livelihood" is a means of living or of supporting life. Our definition takes livelihood a step further. Livelihood not only includes a means of living, but also implies a standard or quality of living. Improving this underlying framework is the objective. Income generation, health, education and peace contribute to one's standard and quality of life. Improving these fundamentals of life seek to improve the framework of livelihoods. This holistic approach will link these elements through a horizontal meshing of integrated activities, that when implemented together, will improve the livelihoods of pastoralists and agro-pastoralists in southern Ethiopia.

An integrated, holistic approach will focus on pastoralists and agro-pastoralists concentrated in Borana zone of the Oromiya Region and the Liben and Afdar zones of the Somali Region. The design of the special objective integrates and supports USAID/Ethiopia's long-term goal of "Reducing Chronic Food Insecurity in Ethiopia". In addition, this special objective incorporates other USAID assistance, particularly with regard to food security; health, population, nutrition; basic education; democracy/governance; environment and disaster mitigation. Achievement of the Special Objective is measured by whether performance meets targets. The refinement of the performance indicators and targets during the first ninety days of program implementation will be a collaborative effort among the partners and the STI Technical Management Team.

USAID uses a Results Framework as a planning, communications, and management tool. It includes the special objective and the IRs, whether funded by USAID or its partners, necessary to achieve it. The framework also conveys the development hypothesis

implicit in the strategy and the cause-and-effect linkages between the IRs and the objective. It includes any critical assumptions that must hold for the development hypothesis to lead to achieving the relevant objective. Typically, its presentation is in graphic form supplemented by narrative. Figure 1 graphically displays the Results Framework for STI SpO, which complements the narrative in the following paragraphs.

Figure 1: STI SpO RESULTS FRAMEWORK**Critical Assumptions:**

- Exogenous factors (military disputes) do not dampen prospects for success.
- Increases in agricultural productivity are possible, and will improve nutrition through increased income and/or household access to a variety of agricultural food products.
- Economic and ecological forecasts will enable households and communities to make better decisions about whether to re-invest in herd growth or de-stock and convert assets into other forms of savings.
- Pastoralists do practice risk management, shifting to alternative strategies will take time and require cultural change.
- The legacy of suspicion and distrust between central government and ethnic tribal groups do not create conditions that impede delivery of health, education and other social services.
- Donor community will continue to appropriately support the activities of the initiative.

IR 1 - Pastoralist and agro-pastoralist incomes increased

The STI target areas are located on the borders of Kenya and Somalia. Communities in these areas are pastoralists and agro-pastorals whose livelihood depends on livestock and livestock products. As such, any threat to the livestock economy (water availability, pasture, livestock diseases, etc.) strike at the ability of the pastoralists and agro-pastoralists to survive. Contributing to this is the lack of assets other than livestock from which to buffer shocks. The situation is exacerbated by little or no services (human health, veterinary services, schools, financial institutions, etc.), and the lack of physical infrastructure.

Illustrative Activities

Access to reliable, suitable and effective veterinary services is a critical component to improving animal health and subsequent income from livestock, and for facilitating the extension of other livelihood improving interventions. Greater pastoral and agro-pastoral livestock incomes should generate more disposable income to purchase additional veterinary services. Previous development efforts supporting Community Animal Health Workers (CAHW) have filled some of this service gap. Linking CAHW services and/or the existing CAHW Cooperative/Association "micro-enterprise" will contribute to sustainability and success.

Establishing cooperative development activities may build the capacity to deliver competitive marketing services. Marketing cooperatives may contribute to the strengthening the ability of both, the CAHWs and these institutions, to offer better services to members and non-members at cost (plus a margin). Use of the Livestock Marketing Authority's Livestock Market Information System is encouraged to support the dissemination of market information to promote marketing strategies, quality over quantity of livestock, and protect producers and buyers from unfavorable seasonal and cyclical supply and demand variations.

Besides income from livestock, access to alternative income sources derived from food and non-food products, improved or new product production and/or services, including the labor/employment market, will help increase and diversify cash and in-kind income. Other agriculture activities (such as small animal, poultry, food and non-food crop production) and agro-processing may be viable alternatives. Former pastoralists, living on the outskirts of urban areas and elsewhere, can likewise benefit from adopting these alternative income sources.

The absence of community-held savings and appropriate credit schemes limits the ability to profitably conduct alternate income generating activities and/or make investments. Small group credit schemes, community banking, savings and credit cooperatives, and micro-finance institutions are all potential options, if appropriately adapted to the cultural and economic setting.

Other illustrative activity options for consideration are: supplemental feeding of livestock (to decreased calf mortality and enhanced recovery rates), the development of small-scale

cereal plots, the introduction of small areas of forage legumes adapted to arid areas, and community water supply (improved use and maintenance of existing water schemes) among other possibilities.

Results to be achieved under IR 1

Increased income to assist pastoralists and agro-pastoralists is possible with the promotion and implementation of proven interventions and the development of additional interventions. These interventions will produce and market more and healthier livestock through access to veterinary services and livestock price information for marketing decisions. It is anticipated that pastoralists will form organized marketing groups to benefit from collective purchasing and produce selling. The establishment of more accessible and appropriate savings and credit mechanisms will provide a buffer against economic and climatic shocks. Special attention to women and gender related issues, through awareness raising on gender barriers plus skills development and training, will contribute directly to the family's livelihood. Finally, development agents are able to continue with successful interventions to broaden the number of potential beneficiaries as well as increase the likelihood of ownership and sustainability of activities.

IR 2 - Adoption of family health practices increased

The family health of pastoralists and semi-pastoralists is impeded by a variety of factors including widespread indelible poverty, lack of health/nutrition knowledge and services and cultural patterns of intra-household food consumption. Improving household incomes should decrease poverty and provide additional funds for health care. Contributing factors to improving family health include basic health education, maternal and child health interventions, family planning, HIV/AIDS awareness and nutrition. HIV/AIDS will continue to spread and its effects are just being seen in the target areas. Interventions occurring now may help prevent the spread of the disease, improve livelihoods and may save a generation of pastoralists.

Illustrative Activities

Knowledge of basic family health practices is one component contributing to better health. Knowledge of maternal and child health issues are important for long-term health maintenance and improving the quality of livelihoods. Understanding basic treatments for diarrhea and fever can help avoid recurrences. Improving the skills of health care providers will help sustain interventions. Knowledge and understanding family planning methods, both natural and modern interventions can help families make informed decisions on family spacing and size. Knowledge and behavior changes are critical in reducing devastating effects of HIV/AIDS.

Malnutrition takes the form of Protein Energy Malnutrition (PEM) combined with multiple micronutrient deficiencies. Malnutrition may result in stunting, sub-optimal cognitive development, immuno-deficiency and anemia in children; and poor pregnancy

outcome, anemia and poor milk quality during lactation for adult women. It is believed that increased household income will enable families to purchase more varied and healthier food. With increased knowledge, families will change intra-household food consumption patterns improving their nutritional status.

Although the major incidence of HIV/AIDS is in urban areas, exposure to the infection is reaching even the remotest areas. The future impact of HIV and deaths from AIDS on pastoral systems can only be guessed, but, as in other parts of Africa, it is likely to be the young and most productive members of the community who will be worst affected. Support activities covering HIV/AIDS awareness, support and care, and education of community health workers will build the capacity to handle a possible epidemic.

During periods of stress, human health indicators deteriorate dramatically due to poorer nutrition, increased use of unsafe water sources and greater exposure to disease. When approached in a conventional way, the delivery of human health services can be difficult and costly. The growth of population and limited ability to migrate to other parts of the country, are major factors in the overall decline of the pastoral systems. More emphasizes on managed population growth and more resources devoted to family planning are vital. Supporting appropriate human health service delivery, antenatal care of pregnant women, integrated management of childhood diseases, and traditional and modern family planning methods should improve their family health practices.

Results to be achieved under IR 2:

Among the most important goals of family health development are better health, improved nutrition and reduced fertility. In their multiple roles, women play a central part in strategies to improve health, raise nutritional levels and reduce population growth. Armed with knowledge, women will be better able to address these multiple roles. A result of these interventions is more and better-trained local community health workers and self-supporting delivery of quality primary health care. This includes a working knowledge of basic health and sanitation, maternal and child health concerns, nutrition interventions, reproductive health, HIV/AIDS and other sexually transmitted diseases. Men, women and children will understand the impact that HIV/AIDS can have on their families, their livelihood and their future. Understanding and acting upon the HIV/AIDS' awareness training will reduce the spread of this pandemic. Healthy families will have increased income or will have the ability to produce and/or purchase more varied and healthier food. Families will change intra-household food consumption patterns ensuring a healthier diet. The beneficiaries will have a greater understanding of the impact of population growth on pastoralists' livelihood systems. Increased understanding that reproductive health is not just a woman's issue. Men will display constructive participation in a way that respects and supports women's reproductive choices and at the same time, protect their health.

IR 3 - Access to appropriate basic education increased

In 2000, Ethiopia had one of the lowest primary education enrollment rates in the world with a system of education characterized by high levels of inequity and disparity. The marginalized pastoral areas of southern Ethiopia have even lower enrollment rates. Somali Region has the lowest gross enrollment ratio (GER) in the country, with only 8.3 percent of all children aged 7-14, and only 5.6 percent of girls, enrolled in primary school. The comparison of the Somali Region GER with the national GER of 51.0 percent (girls, 40.7 percent) highlights the profound disadvantage of the Region. Educational opportunities outside the few major towns are almost non-existent when compared to the more developed highlands. The formal school system practiced in areas where the population is more sedentary has not proven effective for students whose families are constantly moving throughout the year and who reside in remote areas far away from the few existing schools.

Illustrative Activities

Activities should improve access to quality basic education for nomadic communities with non-formal approaches that will be equivalent to conventional basic education found in sedentary communities. Addressing the more specialized needs of the mobile pastoral population, primary education should include literacy, numeracy, life skills, and peace building. Promotion of community-based participation is encouraged. Special opportunities for women and girls to learn and participate are encouraged. Interventions that address the special needs of girls to improve access and persistence in primary school are encouraged. Some suggestions are creating awareness among the community and teachers on girls' education; campaigns against harmful traditions (e.g. marriage abduction) that hinder girls' education; contact with and advice to families of students with academic problems; and special counseling for older girls.

Education delivery appropriate to the mobile lifestyle of the pastoralists, providing teacher training, technical support and learning materials based on localizing curricula to pastoralists learning needs should be considered. The use of Koranic schools as non-formal education centers may be an option. Utilizing the Education Development Center Inc. program of interactive radio instruction in Somali for Grade One students is encouraged.

Other suggested activities may be establishing flexible timetables or adjustment to the school calendar that help address economic, social and other needs of the target community. Providing training on alternative approaches and exchanging proven experiences may enhance program efficiency, minimize communication barriers and help stakeholders share scant resources. Recruitment of paraprofessional teachers from within the target community enhances mutual understanding in the working environment and contributes to effective communications. Establishing learning centers near and within the communities help to minimize cultural barriers that keep girls away from exploiting education opportunities and ensure access to education. Improving quality through continuous teacher support systems by the community helps to minimize dropout and ensures access to quality education. Recruitment of more female paraprofessionals from

among the community may help to improve involvement of females in primary education and to balance gender equity.

Results to be achieved under IR 3

A key result is to improve both quantity and quality of primary education for the beneficiaries of the target area. Development of community-based schools, formal and non-formal schools, and utilization of faith-based schools will address the various learning needs of the pastoralists. Development and adoption of culturally-sensitive curriculum will enhance their education. A holistic approach will support mobilization and utilization of local resources for school management, materials and the recruitment, training and maintaining of local teachers. Through a collaborative effort with the BESO II program, additional teachers are trained and teaching in pastoralists' schools. Primary education opens the way to further education or vocational training in agriculture, health services, etc. and, thereby, increases the opportunities to improve ones livelihood.

IR 4 - Traditional dispute resolution mechanisms enhanced

Disputes are widespread in the arid and semi-arid zones, and often overlap with extreme food insecurity. National and provincial borders, designated grazing zones, wildlife sanctuaries, and the rapid proliferation of land under cultivation have reduced access to traditional transhumance grazing and water circuits, igniting disputes over increasingly restricted land and water. Disputes have been most prevalent in areas lacking in natural resources and minimal support from the local government. These Regions are usually so deprived that the inhabitants' very existence is threatened. Sometimes inter-communal disputes feed into the larger context of national war. Traditionally, elders and religious leaders were consulted to mitigate and resolve disputes before they reached this larger level.

Misunderstandings also arise between clans and the more formal government bodies over social and political control. Elders therefore have little political power or credibility and the more formal government officials lack effectiveness in getting clans to adhere to formal policies and regulations. Better understanding of each other's expectations and constraints coupled with more open and compromising dialogues between these groups should reduce misunderstanding and aid dispute resolution. Many local civil society organizations have programs to manage disputes, and international NGOs, intergovernmental organizations and donors are increasingly preoccupied with understanding dispute and experimenting with solutions.

Illustrative Activities

Understanding of inter and intra clan issues, past and present indigenous knowledge, and traditional resolution practices will promote peace in the target area. The use of this information will support implement activities to improve the local capacity to plan and enhance the effectiveness of traditional mechanisms and new mechanisms to improve the well being of pastoralists and agro-pastoralists. Supporting activities that will improve

cooperation between local elders, government representatives and community beneficiaries and dissemination of “peace-building” information are sustainable.

Other possible activities for consideration include developing and improving capacity building training of community elders and facilitating and coordinating meetings between clan elders, community beneficiaries and leading government officials to increase their understanding of each others’ position. These activities may lead to a more cooperative dialogue for “win-win” solutions between the Parties and clans as well as across international borders. Supporting community development of the structures, policies, and programs needed for equitable economic development and peace initiatives are important. Integrating dispute prevention and mediation content into instruction in math and literacy may develop an engaging, culturally sensitive and educationally effective program.

Results to be achieved under IR 4

Maintaining a peaceful existence is the cornerstone for improved livelihoods. A key result of this IR is the continuing dialogue to enhance the effectiveness of traditional dispute resolution mechanisms. Encouraging activities to improve and promote proven inter and intra clan dispute resolution mechanisms to benefit a larger population in the target areas are important. Establishing improved ways that tribal elders, religious leaders and government officials can cooperatively integrate their respective peaceful dispute resolution approaches will form a foundation for sustainable peace in the target areas.

3. PROGRAM MANAGEMENT

3.1 Roles and Relationships

The Recipient is encouraged to work closely with key Ethiopian and international partners involved in STI implementation to assure activities are collaboratively programmed to avoid duplication and maximize results. Also the Recipient is encouraged to work in close collaboration with the applicable local, zonal and regional governments.

USAID intends that co-ordination and decision-making regarding ongoing implementation of STI activities is through a consultative process that involves the STI Joint Operations Team (JOT) supported by the Technical Management Team (TMT). The JOT is comprised of senior members of the Ministry of Finance and Economic Planning (MoFED), USAID STI core members, Ministry of Agriculture (MOA), the Livestock Marketing Authority and Regional Government Officers. The JOT has overall responsibility for co-ordination and planning. The core members of the TMT will be representatives of the implementing partners, MoFED and USAID. The expansion of TMT may include representatives of appropriate bureaus of the Oromiya and Somali National Regional States. The JOT and TMT meet as frequently as needed to perform its responsibilities, but not less than four times each year.

Key stakeholders are, but not limited to, the Ministries of Agriculture, Education, and Health in priority regions and their designed offices/representatives and relevant Regional Councils. Others secondary but critical stakeholders in the priority regions are: peasant/pastoralist associations, woreda, zonal, regional and other governmental agencies at different levels, national and international STI partners and USAID's other SO teams (agriculture, health, population, nutrition team and democracy/governance).

The Recipient should collaborate closely with USAID to establish processes and/or systems for broad-based beneficiaries consultation and input as the Program progresses, to assure that USAID maintains its core values of beneficiaries' service and participation throughout the life-of-program.

3.2 Environmental Impact Mitigation Plan

All USAID activities must be in compliance with environmental impact monitoring and mitigation regulations (Reg. 16, etc.) The STI Initial Environmental Examination (IEE) calls for review for each Grant and sub-grant that may cause a physical impact on the environment. If any of the proposed activities fall in to this category, the lead implementor will be required to document its review of environmental implications and impact for each activity before USAID approval is granted.

3.3 Substantial Involvement

USAID shall be substantially involved in the Program's performance management in the following areas:

- (i) Designation of key positions and personnel;
- (ii) Approval of the monitoring and evaluation plan; and
- (iii) Approval of annual work plans.

3.4 Designation of Key Positions and Personnel

The Recipient must designate one position as Chief of Party or Country Representative. This person has authority to represent the Recipient in all matters pertaining to the execution of the Program with the possible exception of CA amendments, for which authority shall be delegated at the discretion of the Recipient. The Chief of Party/Country Representative should serve as the Recipient's Representative in Ethiopia for the purposes of the CA. The Chief of Party/Country Representative will receive technical direction from the USAID Cognizant Technical Officer (CTO) or his/her designee, only.

The Recipient is encouraged to maintain at least 25% women professionals throughout the life of the agreement.

3.5 Approval of the Monitoring and Evaluation (M&E) Plan

The Recipient will be required to develop a performance monitoring and evaluation plan to track progress toward achieving results. The following are indicators to measure program performance. The Recipient may recommend additional indicators. All indicators will be disaggregated by geographical location and gender, as applicable.

STI SpO 12 Improved Livelihoods of Pastoralist and Agro-Pastoralists in Southern Ethiopia

Household livestock holding as expressed in tropical livestock unit
Percentage of children 24-59 months (height/age Z score)

IR 12.1. Pastoralist and Agro-Pastoralist Income Increased

Livestock Market Information System established
Value of livestock marketed through pastoral cooperatives/groups
Number of fully supporting community animal health workers
Number of Person Training Days completed in business/technical skills

IR 12.2 Adoption of Family Health Practices Increased

Percentage of children receiving complementary food at age of 6 months
Number/Percent of pregnant women receiving antenatal care
Percentage of target population who can name, without prompting, at least three or more methods of contraception
Percentage of population that can identify two or more methods of reducing the

HIV risk

IR 12.3 Access to Appropriate Primary Education Increased

Gross Enrollment Rate in grades 1-8
Number of primary schools receiving materials, teachers, or TA

IR 12.4 Traditional Dispute Resolution Mechanisms Enhanced

Number of persons training days completed in peace building and or negotiation skills
Number of inter-clan and intra-clan peace building interventions

The M&E Plan should have supporting performance indicator reference worksheets for proposed indicators. A sample is included in Annex E, Performance Indicator Reference Worksheet.

The Recipient is expected to devise appropriate data collection and verification strategies that ensure validity, reliability and accuracy of progress toward expected

accomplishments. The Recipient with USAID collaboration is encouraged to monitor and maintain the cost-effectiveness of the M&E system. The methodologies for collection and processing of raw data under the CA may require harmonization to ease the aggregation for USAID's reporting needs. The Recipient, as a member of the TMT, will work with USAID and other partners, when necessary to assure compliance of data generation with harmonized systems.

Within the first quarter of signing the CA, the Recipient and members of the STI TMT will meet to plan, develop and guide the overall STI performance monitoring process. The TMT will finalize the performance indicators, discuss baselines' collection methods and review targets. Reasonable valid, reliable and timely data aids informed decision-making and guides the program implementation. The development of a collaborative STI Performance Monitoring Plan (PMP) is a useful tool for management and organizational learning.

The PMP process for the Recipient (and/or their implementing partners) and the TMT is supported by USAID and includes mission-specific materials and relevant background material. Recommended USAID Agency guidance is the Automated Directive System (ADS) 200-203, the TIPS series, especially TIPS #6, 7, 8, 12 and 13. This ADS information is available at website [<http://www.usaid.gov/pubs/ads/200>] and the TIPS are available at the following web site: [http://www.dec.org.usaid_eval#004]. Mission-specific materials include the ISP, the Special Objective Grant Agreement, relevant studies or assessments, and background information on likely data sources. Information and or reports prepared by the implementing partners, list of common indicators, other Mission SO PMPs, the Government Accounting Office 1998 Results Act and other contextual information will inform the process. Each component mentioned above requires documentation. USAID performance management worksheets will guide and document the process.

3.6 Approval of the Annual Work Plan

The Annual Work Plan will be developed in consultation with the STI core team. Each Annual Work Plan will describe the objectives and specific targets to be achieved during the period, the tasks to be undertaken and/or completed, and budget requirements. Where necessary, proposed revisions to previously agreed upon targets would be reviewed and modified by agreement with USAID as part of its "substantial involvement" in the CA activities.

The successive annual work plans must include specific mention of an "exit strategy" for the Recipient and to demonstrate how that will be implemented over the life of the Program. The "exit strategy" must demonstrate specifically how Program impact and critical processes will be continued after the CA termination date.

Recipient is also encouraged to assure that all research or data collection activities under the Program are coordinated with other partners, where relevant, and/or other Ethiopian

or Mission entities. In this regard, the Recipient is encouraged to utilize existing resources of collaborating partners, including libraries, documentation centers, and field personnel, to the extent practicable in the collection and collation of selected datasets, as opposed to generating parallel data and/or hiring separate staff. The Recipient is encouraged to collaborate closely with USAID and the expanded team to assure compatibility of efforts and to avoid possible redundancies.

USAID encourages broad PVO/NGO and private sector networking and collaboration in undertaking all activities. Recipient is encouraged to participate in periodic seminars and conferences to share and disseminate experiences among key actors in the public, private, and parastatal communities.

3.7 Reporting Requirements

The Recipient will be required to submit the documents and reports as described below:

Annual Work Plan: The first Annual Work Plan will be submitted to the STI core team for submission to the JOT within 90 days of the award, and will cover the period from October 1, 2002 through September 30, 2003. Subsequent annual work plans will cover fiscal years, and must be submitted by the ending date of the prior work plan (i.e., September 30, 2003 for the FY 2004).

Semi-Annual and Annual Reports: The Recipient will submit semi-annual reports by April 15th of each fiscal year. The semi-annual reports will briefly describe the on-going activities, and any significant problems or successes. Annual Reports will be submitted to USAID by October 1st covering the prior fiscal year results. USAID and the JOT as part of the process of reviewing and approving the next Annual Work Plan will review the Annual Implementation Report.

Annual Implementation Reports will describe:

- (1) the extent to which objectives and targets contained in the Annual Work Plan have been achieved;
- (2) significant implementation problems encountered during the year; actions taken to resolve problems; and
- (3) observations/recommendations to improve implementation in the future.

Annual Implementation Reports are not to exceed 50 pages in length, and will contain an Executive Summary not to exceed 5 pages in length. Tables or graphic presentations will present objectives/indicators reflecting planned and actual targets. Additional supporting information may be included in Annexes to the report.

Financial Reports: The Recipient will submit estimated annual requirements as part of the Annual Work Plan. The Recipient will provide USAID/Ethiopia with quarterly expenditure reports 15 days prior to the end of the quarter, and an annual expenditure report within 30 days after the end of the fiscal year.

3.8 Other Implementation Issues

Between the required implementation reporting dates, events may occur that have significant impact upon the Program. In such instances, the Recipient shall inform USAID as soon as the following types of conditions become known:

Problems, delays or adverse conditions that will materially affect the ability to attain the program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of work units by established time periods.

This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any USAID assistance needed to resolve the situation.

Favorable developments or events that enable time schedules to be met sooner than anticipated or more work units to be produced than originally projected.

If any performance review conducted by the Recipient discloses the need for change in the budget estimates, the Recipient shall submit a request for budget revision.

The SpO Team shall make site visits as frequently as practicable to:

Review program accomplishments and management control systems, and
Provide such technical assistance as may be required.

There shall be a final technical or performance report after completion of the program, the due date for which will be set forth in the grant.

SECTION D**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT
[1][2]

EXECUTIVE ORDER ON TERRORIST FINANCING

The contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the Provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontractors/subawards issued under this contract/agreement.

PART I - CERTIFICATIONS AND ASSURANCES**1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

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CERTIFICATIONS

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

SECTION D

CERTIFICATIONS

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

SECTION D

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1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

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3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

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10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering

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into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant

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approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

6. CERTIFICATION OF RECIPIENT

The recipient certifies that it has reviewed and is familiar with the proposed grant format and the regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard

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provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

PART II - OTHER STATEMENTS OF RECIPIENT**1. AUTHORIZED INDIVIDUALS**

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided

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immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

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\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

Type/Description(Generic)	Quantity	Estimated Unit Cost
-----	-----	-----

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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Type/Description (Generic)	Quantity	Estimated	Goods	Components	Probable
		Unit Cost			Source

Goods	Components	Probable
	Origin	

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

Type/Description (Generic)	Quantity	Estimated	Probable	Probable	Intended Use
		Unit Cost	Source	Origin	

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

Type/Description (Generic)	Quantity	Estimated	Probable	Supplier Nationality	Rationale
		Unit Cost	(Non-U.S. Only)	for non-U.S.	

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more,

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please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

Type/Description(Generic)	Quantity	Estimated Unit Cost	Proposed Disposition
-----	-----	-----	-----

6. PAST PERFORMANCE REFERENCES

(RESERVED)

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production

services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

Attachment A

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION,
INELIGIBILITY AND VOLUNTARY EXCLUSION -LOWER TIER COVERED
TRANSACTIONS**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

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6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

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Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

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Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

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CERTIFICATIONS

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

ANNEXES:

ANNEX A: Acronyms

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ANNEX A: ACRONYMS

BESO	Basic Education System Overhaul and Basic Education Strategic Objective
CA	Cooperative Agreement
CAHW	Community Animal Health Worker
DA	Development Assistance
DAP	Development Assistance Program
DHS	Demographic & Health Survey
DKT	Ethiopian NGO working in contraceptive social marketing
E-CSO	Ethiopian civil society organization
EDDI	Education for Development and Democracy Initiative
EDC	Education Development Corporation
EEO	Equal Employment Opportunity
EMIS	Education Management Information System
EPRDF	Ethiopian Peoples' Revolutionary Democratic Front
E-NGO	Ethiopian Non-government Organization
ESHE	Essential Services for Health in Ethiopia
GER	Gross Enrollment Rate
GFDRE	Government of the Federal Democratic Republic of Ethiopia
GL-CRSP	Global Livestock – Cooperative Research Support Program
IR	Intermediate Result
IRI	Interactive Radio Instruction
ISP	Integrated Strategic Plan
JOT	Joint Operations Team
LMA	Livestock Marketing Authority
M&E	Monitoring and Evaluation
MED	Mitigate the Effects of Disaster
MOA	Ministry of Agriculture
MoFED	Ministry of Finance and Economic Planning, formerly the Ministry of Economic Development and Cooperation
NGO	Non-Governmental Organization
OFDA	Office for Foreign Disaster Assistance
PA	Pastoralist or Peasant Association
PARIMA	Pastoral Risk Management Project
PEM	Protein Energy Malnutrition
PEP	Pastoralist Education Program
PMP	Performance Monitoring Plan
PRSP	Poverty Reduction Strategy Program
REB	Regional Education Bureau

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RHPP SO	Rural Household Production and Productivity Strategic Objective
SCF/US	Save the Children Federation - USA
SD	Standard Deviation
SO	Strategic Objective
SOAG	Strategic Objective Grant Agreement
SpO	Special Objective
STI	Southern Tier Initiative
TA	Technical Assistance
TMT	Technical Management Team
TWG	Technical Working Group

ANNEX B: Other Donor and NGO Efforts in the Southern Tier

Organization	Location/Level of Effort	Main Types of Assistance
African Development Bank	Horn of Africa	Animal breeding and forage production and livestock disease control National Livestock Development Project
World Bank	Nationally	The Pastoral Areas Development project plans to support the GFDRE in promoting sustainable livelihoods in pastoral areas.
UNICEF	Nationally	Disaster relief
European Union	Nationally	Disaster relief
DFID	Horn of Africa	Livestock disease control, animal trade, disaster relief
Cooperazione Internazionale	Borana Zone	Education, health and water resource access and management
GTZ – Boorana Lowland Pastoral Development Programme	Borana Zone	Animal health, range management, drought mitigation, community health and education services, market information, dry land farming, and rural finance
CARE/Ethiopia	Borana Zone and Awash valley	Water well improvement, women's savings and loan programs, dryland farming technology, meat processing, para - veterinary health services and HIV/AIDS awareness, disaster relief
Ogaden Welfare Society	Somali State	Capacity building, water well development, human and livestock health post construction and management, post-drought restocking, education support, HIV/AIDS awareness and, disaster relief
SOS/Sahel	Borana Zone	Understand pastoral systems, pastoral production systems, reforestation, dispute management, disaster relief management of common property grazing resources, policy reform and, disaster relief
Norwegian Church Aid	Somali Region	Animal health and disaster relief
Lay Volunteers International Association	Somali Region	Animal health, water resources development, dry land agriculture
Pastoralist Concern Association of Ethiopia	Somali	Non-formal education, women's cooperatives and disaster relief
SCF/US	Borana Zone and Afdar and Liben Zones of Somali Region	Human and animal health, primary education, water development, capacity building, peace building activities
Ethiopian Evangelical	Borana Zone	Education, health, orphanages

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Church/Abele Mebane Yeses		
CISP	Borana Zone	Water development
ICRC	Somali Region	Community based animal health services
GOAL	Borana Zone	Health and non-formal education
Action for Development	Borana Zone	Non-formal education, water development, health, and saving and credit cooperatives
Catholic Church	Borana Zone-Yabella	Health clinics, schools
Hope for the Horn	Nationally	Disaster relief by supplying water
Oxfam/US	Borana Zone of Oromiya Region and Liben Zone of Somali Region	Dispute resolution

ANNEX C: GOVERNMENT OF THE FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA (GFDRE) POLICIES AND INTERVENTIONS

The Government of the Federal Democratic Republic of Ethiopia (GFDRE) has issued a range of strategies and programs geared towards agricultural development and food security initiatives. Recent and relevant initiatives worth noting are (i) the Food Security Strategy, (ii) the Agriculture Extension Program, (iii) the Five-year Development Plan, and (iv) the Interim Poverty Reduction Strategy Paper. In all these strategies and programs, the attention given to pastoral area development is minimal, reflecting the fact that pastoral production systems have traditionally received little attention. However, there is encouraging progress with the development of the Pastoral Steering Committee in the Ministry of Rural Development, the Standing Committee for Pastoralists in the Parliament, and the Pastoral Unit under the Ministry of Agriculture (MOA). In addition, the District Level Decentralization Program (under development) may have a significant impact on development in pastoral areas, promoting democratization, empowerment and good governance.¹

Food Security Strategy (FSS)

The March 2002 FSS highlights the point that pastoralists share a set of complex issues but problems and opportunities vary across different pastoralist groups. It summarizes the economic significance of pastoral production systems and describes major problems encountered by the system, especially during drought years. The goals of agricultural activities in pastoral areas are: increasing livestock farm productivity and improving the welfare of the people through voluntary and non-coercive settlement in consultation with local communities.² Major measures for improving pastoral food security are: strengthening of an early warning system, encouraging economic diversification and systems, introducing new appropriate technology and encouragement of large-scale commercial ranches.

National Extension Program

The 1993 National Extension Program focused on areas with high potential for intensive crop production packages. The primary objective was to increase productivity and production of certain food crops (maize, wheat, teff, and barley) and excluded pastoral areas. With the establishment of the Pastoral Unit, under the Extension Department of the MOA, pastoral area development and intervention packages have been given increasing, if not yet deliverable, attention.

Based on this general framework, pastoral regions (Somali and Afar) and other regions with pastoral production systems (Oromia, SNNPR, Benshagule and Gambella) have developed a five-year pastoral and agro-pastoral development plan in consultation with pastoral communities. The plan is now under review.

¹ Pastoral Community Development in Ethiopia, Issues Paper, Discussion Draft, December 5, 2002

² The Federal Democratic Republic of Ethiopia, Food Security Strategy, March 2002

Pastoral Research

The Ethiopian Agricultural Research Organization (EARO) has recognized the need for pastoral area research and in late 1999 prepared a Pastoral and Agro-Pastoral Research Strategic Plan. This plan sets goals for (1) poverty alleviation and food security, (2) sustainable natural resource management, (3) sustainable policy and (4) technology development, and describes short, medium and long-term strategies for their achievement. This includes the establishment of five new research stations in Humera (Tigray), Shiket or Abaala (Afar), Jijiga (Somali), Sekota (Amhara) and Yabello (Oromiya), and the found of a Pastoral and Agro-pastoral Research Department in the Dryland Agricultural Research Directorate of the EARO. The strategy document provides a valuable base upon which to build participatory constraint analysis and research prioritization at the level of the regional research stations now under development.

The Ethiopian Peoples' Revolutionary Democratic Front (EPRDF) Five Year Development Plan

The EPRDF's Five Year Development Plan gives minimal coverage and depth to pastoral area development. The Plan's recommendations, although questionable in its emphasis on sedentarization, do seek to "strengthen agricultural development activities in pastoral areas to raise the standard of living, strengthen foreign exchange earning, and alleviate nomadic livelihood step by step." The plan provides the general direction government wants to follow in resolving pastoral issues; this should include careful analysis and consultation with concerned communities to determine intervention packages.

Interim Poverty Reduction Strategy Paper (I-PRSP)

The I-PRSP is the current government paper on tackling poverty, yet the coverage given to pastoral development issues is minimal. The strategy does state a desire to "improving the welfare of the pastoral people by increasing productivity and minimizing risk through infrastructure development, improved market access and other support services." The strategy advocates for interventions in different pastoral areas of the country and reiterates the shortcomings of previous interventions. Others working with pastoral issues suggest interventions should revolve around livestock.

The Pastoral Communication Initiative (PCI), a donor supported pastoralists advocacy group, provided facilitators to help strengthen and articulate community voice in the PRSP consultation process conducted in early 2002. PCI noted the active participation of men and women in the regional and local level consultations of the Afar and Somali Regions. They articulated major shortcomings and constraints to the adoption and implementation of a coherent and comprehensive poverty eradication program.

It will be interesting, when the final PRSP (June 2002) is issued, what is recommended and noted.

The GFDRE has made efforts to improve pastoralists welfare

To improve basic education the Regional Education Bureau, in the Somali Region, is working with UNICEF to provide "itinerant teachers" that move with nomadic families. The Zonal Education Office, in the pastoralist Borana Zone of Oromiya Region, is working with UNICEF and the community to determine pastoralist children needs, and is exploring the community-organized boarding school concept.

To improve human health and nutrition, the Ministry of Health is promoting national campaigns to improve nutritional status (Vitamin A, iodized salt) and eradicate polio. Regional, Zonal and Woreda health offices are also undertaking outreach programs to improve immunization rates among children and pregnant women to include pastoral populations where possible.

Other GFDRE's efforts include increasing food availability by easing the movement of livestock and livestock products within the country and improving the productivity of livestock operations. The GFDRE established The Livestock Marketing Authority (LMA) that assists pastoralists (and other livestock farmers) locate suitable and more profitable markets. The LMA is working to improve dissemination of livestock marketing information, which will contribute to greater incomes from livestock sales.

ANNEX D: USAID'S CURRENT PASTORALIST PROGRAMMING

USAID/Ethiopia completed a thorough analysis of pastoralist development issues based on existing research and a joint assessment with GFDRE's Federal and Regional governments. Through this collaborative effort, we identified a focus, Ethiopia's "Southern Tier," which includes the common border areas of Ethiopia, Kenya, and Somalia for these efforts and designed a Special Objective (SpO) for the Southern Tier.

Animal Health and Income Generation

The SpO builds upon a number of activities that USAID has already initiated in the Southern Tier. The Pastoral Risk Management Project (PARIMA) of the Global Livestock Collaborative Research Support Program (GL-CRSP), funded by USAID/Washington and the Mission, is working with local Boran and Gugi communities in Oromiya. PARIMA conducts research to identify problems inhibiting pastoralists and agro-pastoralists from attaining a better livelihood. It then develops possible interventions such as improving access to savings and credit institutions. PARIMA has identified successful local examples of economic diversification that are transferable within the Region. Once targeted communities identify simple diversification options, PARIMA facilitates pilot implementation.

USAID/Ethiopia also assisted the Ethiopian Livestock Marketing Authority (LMA) to design a livestock market price information and dissemination system. Under the SpO, this pilot activity now underway focuses on capturing and disseminating livestock sales information from five markets along the main north-south livestock-marketing corridor. This timely market price information captures information currently not available. The intended impact is to enable pastoralists to make "informed" decisions for selling and buying purposes. This capacity building activity will in turn help strengthen and improve LMA services.

SCF/US is implementing an animal health activity in the Liben and Afdar Zones of the Somali Region under the Cross Border Animal Health Program. With local authorities, SCF/US is establishing Community Animal Health Workers (CAHW) Associations responsible for coordinating and improving livestock health care in the target areas. The Association trains Community Animal Health Workers (CAHWs) and provides administrative support. The CAHWs are operating in their communities, vaccinating and treating livestock. In areas where government services are limited, "fee-for-service" arrangements are proving successful with livestock owners willing and able to pay for their services, even in low-income areas. The CAHWs can generate sufficient income to provide for their own needs, thereby making animal health care available for pastoralists on a sustainable basis. Based on the success of this project, the Somali Region has mandated the privatization of animal health services in the Region. SCF/US's Title II Development Activity Proposal (DAP) also focuses on CAHW training, supports the vaccination and treatment of livestock and is training women in milk processing.

Human Health

SCF/US's Title II DAP has a health component that is concentrating on improving family health through activities focusing on child survival interventions, maternal health, immunization programs, nutrition education, supplementary feeding, water development activities, and capacity building of community health workers. The education initiative is also supporting the improved family health component by providing HIV/AIDS and nutrition education through appropriate information, education and communication (IEC) materials and school clubs activities. SCF/US is providing community awareness training pertaining to the negative effects of Harmful Traditional Practices.

Primary Education

With USAID basic education funding, SCF/US is implementing the Pastoralist Education Project (PEP) to improve primary education for pastoralists in the Liben and Filtu woredas of the Oromiya and Somali Regions. The project's focus is to adopt education delivery to the mobile lifestyle of the pastoralists, including school construction, community-based education committees, teacher training, and technical support. The integration of basic education subjects into the Koranic School is a pilot activity under PEP. The SCF/US Title II DAP focuses on improving education opportunities for high school girls in targeted areas, female-related health education and addressing barriers to girls' education. The Education Development Center is working with the Somali Regional Education Bureau to develop interactive radio instruction for first grade students focusing on literacy and numeracy lessons. These lessons, with supporting curriculum and teacher education, reflect the Somali culture and have a strong peace message.

Peace Building

In the area of peace building, a SCF/US pilot project designed to improve the ability of local formal and traditional leaders to mitigate disputes and reduce social tensions through the art of negotiation. This structured process gathers information, identifies social stresses, convenes meetings among local leaders to improve cooperation, and reinforce the roles of local leaders. A team of dispute specialists from Addis Ababa University undertook an assessment of dispute and mitigation mechanisms for the Liben and Afdar Zones, and completed a Capacity Building Training manual. The manual has been pilot tested successfully, and the district level government has requested expansion of the project in other districts.

ANNEX E: Performance Indicator Reference Worksheets

Performance Indicator Reference Sheet
Special Objective: Improved Livelihood for Pastoralists and Agro-Pastoralists in Southern Ethiopia IR3 Result: Access to appropriate basic education increased Indicator: The total number of primary schools in target areas which the implementing partners are contributing materials, teachers, or technical assistance (disaggregated) by woreda, by zone,
DESCRIPTION
Precise Definition(s): Primary school is defined with grades 1-8, formal or informal, government or non-governmental; target areas: Borana Zone of Oromiya, Liben and Afdar Zones of Somali Region Unit of Measure: Number of primary schools Disaggregated by: name of school, by woreda, by zone, by region and by type of intervention Justification/Management Utility: Will demonstrate improved access and type of interventions
PLAN FOR DATA ACQUISITION BY USAID
Data Collection Method: Informal Survey Method of Acquisition by USAID: Presented in table form, disaggregated and with totals with narrative in semi-annual reports Data Source(s): Supplied by the Implementing Partner Frequency/Timing of Data Acquisition: Semi-annually Estimated Cost of Data Acquisition: TBD Responsible Individual(s) at USAID: STI CTO
DATA QUALITY ISSUES
Date of Initial Data Quality Assessment: late 2002 Known Data Limitations and Significance (if any): TBD Actions Taken or Planned to Address Data Limitations: TBD based on initial data quality assessment Date of Future Data Quality Assessments: 2004 Procedures for Future Data Quality Assessments: Use of same survey instrument
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING
Data Analysis: Data is analyzed and summarized by the implementing partner for submission to USAID. SO team will analyze in relation to other indicators semi-annually. Presentation of Data: Data can be presented as a table with disaggregated categories, with totals, with supporting narrative Review of Data: Data reviewed by expanded SpO Team and STI TWT Reporting of Data: Used for semi-annual reports, Annual Report/ Budget Justification, ad hoc reports
OTHER NOTES
Notes on Baselines/Targets: TBD Location of Data Storage: Semi-annual reports to held at USAID STI Office and the PRM data base. Other Notes: This indicator coordinates with SO9 BESO II SO.
THIS SHEET LAST UPDATED ON: 6/14/02

Instructions for Completing the Performance Indicator Reference Sheet
Strategic Objective: Enter the title of the SO. Intermediate Result: Enter the title of the relevant IR, if any. Indicator: Enter the full title of the indicator.
DESCRIPTION (Refer to ADS 203.3.6.3 and 203.3.3.6.5)
Precise Definition(s): Define the indicator more precisely, if necessary. Define specific words or elements within the indicator as necessary. Unit of Measure: Enter the unit of measure (e.g., <i>number of...</i> , <i>percent of...</i> , <i>US dollars</i> , etc.). Disaggregated by: List planned data disaggregations (male/female, youth/adult, urban/rural, region, etc.) Justification/Management Utility: Briefly describe <i>why</i> this particular indicator was selected and how it will be useful for managing performance of the SO team's portfolio.
PLAN FOR DATA ACQUISITION BY USAID (Refer to ADS 203.3.6.5b)
Data Collection Method: Describe the <i>tools</i> and <i>methods</i> through which the data will be collected. Method of Acquisition by USAID: Describe the form in which the SO team will receive the data (e.g., periodic monitoring report, compiled survey analysis report, etc.) Data Source(s): Identify who is responsible for providing the data to USAID (e.g., implementing partners, M&E contractor, specific SO team member, etc.). Frequency/Timing of Data Acquisition: Describe <i>how often</i> data will be received by Operating Unit, and <i>when</i> . Estimated Cost of Data Acquisition: Estimate the cost (in dollars and/or level of effort) of collecting the data. Responsible Individual(s) at USAID: Identify the specific SO team member who will be <i>directly responsible</i> for acquiring the data.
DATA QUALITY ISSUES (Refer to ADS 203.3.6.5)
Date of Initial Data Quality Assessment: Enter the date of initial data quality assessment and the responsible party. Known Data Limitations and Significance (if any): Describe any data limitations discovered during the initial data quality assessment. Discuss the significance of any data weakness that may affect conclusions about the extent to which performance goals have been achieved. Actions Taken or Planned to Address Data Limitations: Describe how you have or will take corrective action, if possible, to address data quality issues. Date of Future Data Quality Assessments: Enter the planned date for subsequent data quality assessments. Procedures for Future Data Quality Assessments: Describe <i>how</i> the data will be assessed in the future (e.g., spot checks of partner data, financial audit, site visits, software edit check, etc.).
PLAN FOR DATA ANALYSIS, REVIEW, & REPORTING (Refer to ADS 203.3.6.6)
Data Analysis: Describe <i>how</i> the raw data will be analyzed, <i>who</i> will do it, and <i>when</i> . Presentation of Data: Describe how tables, charts, graphs, or other devices will be used to present data, either internally within the SO team or Operating Unit, or externally to Washington or other audiences. Review of Data: Describe <i>when</i> and <i>how</i> the SO team or Operating Unit will review the data and analysis (e.g., portfolio review, mission internal review, activity-level reviews with implementing partners, etc.) Reporting of Data: List any internal or external reports that will feature data for this indicator (e.g., R4 data tables, R4 narrative, Budget Justification, report to ambassador, activity manager's report, etc.)
OTHER NOTES (Refer to ADS 201.3.4.13c)
Notes on Baselines/Targets: Explain how the baselines and targets were set and identify any assumptions made. If baselines and targets have <i>not</i> been set, identify <i>when</i> and <i>how</i> this will be done. Location of Data Storage: Identify <i>where</i> the data will be maintained in the Operating Unit (specific computer files or hard storage area, etc.) Other Notes: Use this space as needed.
THIS SHEET LAST UPDATED ON: mm/dd/yy To avoid version control problems, enter the date of most recent revision to the reference sheet.